

Agenda Item 2b

Consideration of Year 7 (2002-03) Performance Funding Issues: Measure and Standard for Indicator 4 A/B, Cooperation and Collaboration, for Research Sector

Staff Explanation: Below and on the following pages are the measure write-up and the report form for Indicator 4AB, Cooperation and Collaboration, for the Research Sector. The measure has been refined from that used in Performance Funding Year 6 (2001-02) to collect baseline data. Refinements made include the addition of details related to identifying and counting collaborations between and among the three institutions and also for scoring institutional performance. Recommended standards for the duration of the measure are in the details for the measure that are presented below.

Recommendation: Staff recommends that the Planning and Assessment Committee recommend the measure and standard for Indicator 4A/B, Cooperation and Collaboration, for the Research Sector as presented herein for approval by the Commission.

COMBINED 4A/B:

(4A) SHARING AND USE OF TECHNOLOGY, PROGRAMS, EQUIPMENT, SUPPLIES, AND SOURCE MATTER EXPERTS WITHIN THE INSTITUTION, WITH OTHER INSTITUTIONS, AND WITH THE BUSINESS COMMUNITY

(4B) COOPERATION AND COLLABORATION WITH PRIVATE INDUSTRY

GENERAL MEASURE DEFINITION OF 4 A/B

Indicator 4A/B is defined tailored to each sector. 4A/B is intended to measure sector focused efforts of institutional cooperative and collaborative work with business, private industry and/or the community. Each sector, subject to approval of the Commission, will develop a common measure that will be the focus of the sector for a timeframe to be determined in excess of one year. Standards will be adopted for use in scoring individual institutional performance annually after the first year of implementation.

SECTOR MEASURES AND DETAILS FOR 4A/B FOR EACH SECTOR FOLLOW:
(PRESENTED BELOW IS THE MEASURE APPLICABLE TO RESEARCH INSTITUTIONS)

4A/B for the RESEARCH SECTOR

MEASURE OF INDICATOR 4A/B FOR RESEARCH SECTOR: To enhance collaborative research within the Research Sector including the development and use of an integrated faculty and grants database system.

Applicability

Clemson, USC Columbia and MUSC

RESEARCH SECTOR MEASUREMENT INFORMATION

General Data Source:	Report from Sector to CHE.
Timeframe & Cycle:	5 Year Measure inclusive of Performance Funding Years: 6 (2001-02) in which FY01 data are measured 7 (2002-03) in which FY02 data are measured 8 (2003-04) in which FY03 data are measured 9 (2004-05) in which FY04 data are measured 10 (2005-06) in which FY05 data are measured Performance data on the preceding FY performance are submitted annually in February.
Display:	First year rating based on the level of achievement of goals. Years 2 through 5 are rated on the % increase of collaborations over the average of the three preceding years. <i>Note that in the second year of this measure, if complete data for the three institutions are not available by October 31, 2002, the comparison of the current year to past years will be made using data from those years within the applicable three-year period for which complete data are available. This would apply in future years as well, unless and until, three years of complete data as applicable are available. (See Stage 2 below.)</i>
Rounding:	Percent increase as measured to the nearest tenth.
Expected Trend:	Upward.
Type Standard:	First year is to be rated based on achievement of goals for developing an integrated database. Years 2 through 5 rated on annual performance in comparison to set scale.

CALCULATION, DEFINITIONS and EXPLANATORY NOTES

Measurement Structure and Calculation

Stage 1 (Measurement in Performance Year 6)

In Performance Year 6, the sector reports on success in realizing goals set related to the development of an integrated faculty and grants database. Additionally, a report of baseline data, identifying collaborative projects for each institution, is required. Baseline data are to include a list of existing collaborative efforts (as of June 30, 2001) detailing the project title, approximate funding, partner(s) involved, and duration. The projects will be categorized by institutional partner, with categories for individual collaborations and for partnerships that include all three research institutions.

In stage 1, the performance score for each institution is a numeric score based on the sector's performance in achieving goals to develop an integrated faculty and grants database. Baseline data are used for refining the measure, determining standards, and as comparison point for data collected in the first year of stage 2.

Stage 2 (Measurement in Performance Years 7-10)

In Performance Years 7 through 10, the sector will report during the first week in February each year on the number of **collaborations** among and between the three institutions for the most recent ended FY. For example, in Year 7 (2002-03), the report on collaborations will include those from July 1, 2001, through June 30, 2002 (FY02.) Collaborations will be identified by **partners involved** (see *definition below regarding identification of partners*), and for each collaboration reported, data including the project title, approximate funding, source of funding and beginning and end dates are also to be reported.

Generally, in each of the years in stage 2, the performance score is for each institution is dependent on each **institution's individual performance** and the **sector's overall performance** in increasing the number of collaborations between and among the three institutions. The **percent increase in collaborations** over the prior year will be measured. A description of the scoring structure follows:

Annually, each institution must demonstrate participation in a minimum level of collaboration. The minimum level of participation required for each institution's individual performance is defined as having a number of collaborations equal to or greater than the its average number of collaborations for the preceding three fiscal years rounded to the nearest whole number (using the round function in Excel.) *(Note that in the second year of this measure (Year 7), if complete data for the three institutions are not available by October 31, 2002, the comparison of the current year to past years will be made using data from those years within the applicable three-year period for which complete data are available. This would apply in future years as well, unless and until, three years of complete data as applicable are available.)*

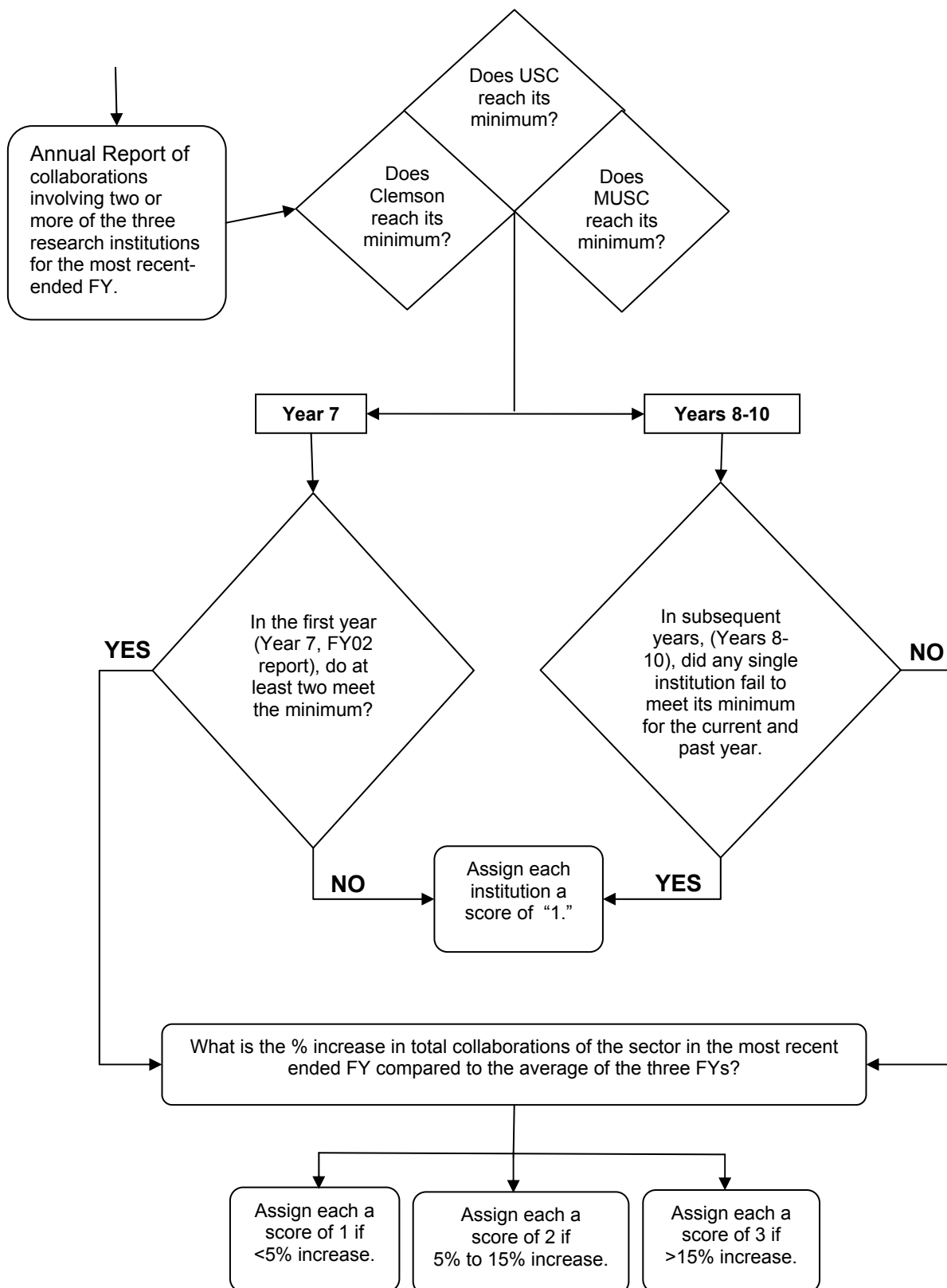
It is recognized that there may be factors outside of an institution's control that might prevent an institution from meeting its required annual level of participation although the institution may have shown progress in new collaborations in that year. In such an event, the institution may appeal its case to staff for consideration at the time the data are reported. Staff will review the issues and data presented by the institution making an appeal and recommend any exceptions for consideration by the Planning and Assessment Committee.

In the first year in which collaborations are considered (i.e., Performance Year 7 report of FY02 projects), if at least two institutions meet their identified performance level for the current year, then the sector's overall performance is considered, and the score for each institution is based on the percent increase in the **total number of collaborations identified across the institutions** in the sector over the prior three year average. *(Note that in the second year of this measure (Year 7), if complete data for the three institutions are not available by October 31, 2002, the comparison of the current year to past years will be made using data from those years within the applicable three-year period for which complete data are available. This would apply in future years as well, unless and until, three years of complete data as applicable are available.)* If two or more institutions fail to meet their identified minimum level of participation, then each institution in the sector will receive a score of "1."

In the second and subsequent years (Performance Years 8 through 10) of the measure, provided that there is no single institution failing to meet its minimum for

the **current and past years**, then the sector's overall performance is considered, and the score for each institution is based on the percent increase in the total number of collaborations identified across the institutions in the sector over the average of the three prior fiscal years. (See note above regarding to availability of historical data.) A score of "Achieves" or "2" is awarded to each institution for a 5-15% increase in the total number of collaborations over an average of the three prior fiscal years. If the increase is less than 5%, a score of "1" is given to each institution. If the increase is greater than 15%, a score of "3" is given to each institution. In the event there is at least one institution that fails to demonstrate its minimum level of annual participation for the current and past year, then each institution in the sector will receive a score of "1" for that Performance Year for which the score is being assigned, regardless of the percent increase in the overall sector's performance.

A flow chart detailing the scoring process is found on the next page. Following the flow chart, are definitions of terms **bolded and underlined in the preceding materials.**



Applicable Measurement Definitions:

Collaboration is defined as a research grant and/or award that involves two or more of the research sector institutions. Included as collaborations are those projects that involve basic and applied research, acquired through a competitive process, involving two or more of South Carolina's three public research institutions. Excluded are projects involving collaborative placement of students into assistantships or practica, collaborative support in the administration of centers, and state-wide initiatives that involved institutions from other sectors.

Collaborations counted within a FY are determined by the beginning and end dates of the identified collaborations with those counted in a particular FY if either date crosses that FY.

Identifying Collaborations by "Partners Involved:" Partners may include any combination of institutions in the research sector and are identified based on the distribution of funding for the collaboration.

Institution's Individual Performance is determined by counting the number of collaborations, as defined above, that involve that institution and either or both of the other research institutions.

Sector's Performance is determined by counting the total number of non-duplicative collaborations identified, as defined above, including those between Clemson and USC; Clemson and MUSC; USC and MUSC; and Clemson, USC, and MUSC.

Calculating "% increase over the prior three fiscal years" is derived as the number of sector collaborations for the current year minus the average number of sector collaborations for the past three fiscal years with the result divided by the average number of sector collaborations for the past three fiscal years. Performance is expressed as a percentage to the nearest tenth percent. (Note: As indicated above in the discussion of Stage 2 of the measure, the average number of collaborations for the 3 past years is rounded to the nearest whole number.)

$$((\text{Current Year} - \text{Average of 3 Past Years}) / \text{Average of 3 Past Years}) * 100 = \text{X.X}\%$$

Current Year: Reference to the Performance Funding Year in which the measure is being calculated and the data reported for that year which is the most recent-ended FY. (For example, for Performance Year 7 data reported in February 2003, the current year data are FY02 data.)

Past Year: Refers to the performance year and data immediately preceding the "current year." (In keeping with the example for "current year," for the report in 2003, the past year data would be the FY01 data that were reported in 2002 for Performance Year 6.)

Average of 3 Past Years: Refers to the performance years and data for three years prior to the "current year." (In keeping with the example for "current year," for the report in 2003, the average of 3 past years would be the average of FY01, FY99, and FY 98 data that were reported in 2002 for Performance Year 6.)

STANDARDS USED TO ASSESS PERFORMANCE

STANDARDS ADOPTED IN 2001 AND 2002 TO BE IN EFFECT FOR PERFORMANCE YEARS 6 (2001-02), 7 (2002-03), 8 (2003-04), 9 (2004-5) AND 10 (2005-06)		
Sector	Level Required to Achieve a Score of 2*	
RESEARCH SECTOR	<p><u>Year 6 (2001-2002)</u>: See Above. Prototype tracking software developed, baseline data and definitions submitted. Score based on meeting goals identified related to the development of an integrated faculty and grants database.</p> <p><u>Subsequent years</u>: See above. Provided each institution meets an identified minimum level of collaboration, then an "Achieves" is scored based on a 5%-15% increase in collaboration over the average of the preceding 3 FYs. Details are provided above in the measurement description.</p>	

*** If an institution scores above the higher number, a 3 is awarded. If an institution scores below the lower number, a 1 is awarded.**

Improvement Factor: Not Applicable, as this indicator is designed to encourage within a limited timeframe increased performance of each institution's cooperative and collaborative efforts as defined by the sector.

YEAR 7 PERFORMANCE DATA, 2002-03 (will be rated to impact 2003-04 funding)	Institution: Clemson University; USC Columbia Medical University of SC (MUSC)															
INDICATOR 4A/B: Cooperation and Collaboration, Research Sector	Contact Name & Phone:															
<div style="background-color: #00FFFF; padding: 2px; text-align: center;"> Report due February 7, 2003. </div> <div style="background-color: #00FFFF; padding: 2px; text-align: center;"> Applies to Research Institutions </div>	Authorizing Signature:															
Performance Timeframe: Report FY02 (July 1, 2001 - June 30, 2002)	Date Submitted:															
<p>INSTRUCTIONS: Please complete as a sector the information below for purposes of reporting your performance on Indicator 4A/B for Research Institutions. A description of the measure may be found on pages ##-## of the Performance Funding Workbook. In Year 7 and subsequent years, the sector will report in February on the most recent-ended fiscal year activity including: a listing of collaborations with details as indicated below. Please complete the information below for purposes of identifying performance to be scored for Year 7 (2002-03.)</p>																
<p><u>Measure:</u> To enhance collaborative research within the Research Sector including the development and use of an integrated faculty and grants database.</p>																
<p>1.) Please attach a listing of the collaborations for FY02 (July 1, 2001 – June 30, 2002) identified by the partners involved and including the following details for each: the project title, approximate funding, source of funding and beginning and end dates. An Excel worksheet is provided to assist with the reporting.</p>																
<p>2.) To determine if individual institutions met minimum performance for FY02, report the number of collaborations for each institution and whether the minimum was met. (See workbook for definitions.)</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 30%;">Clemson</td> <td style="width: 10%; text-align: center;">_____</td> <td style="width: 30%;">Was the minimum met for FY02?</td> <td style="width: 10%;">YES or NO</td> <td style="width: 10%;">(circle one)</td> </tr> <tr> <td>USC Columbia</td> <td style="text-align: center;">_____</td> <td>Was the minimum met for FY02?</td> <td>YES or NO</td> <td>(circle one)</td> </tr> <tr> <td>MUSC</td> <td style="text-align: center;">_____</td> <td>Was the minimum met for FY02?</td> <td>YES or NO</td> <td>(circle one)</td> </tr> </table>		Clemson	_____	Was the minimum met for FY02?	YES or NO	(circle one)	USC Columbia	_____	Was the minimum met for FY02?	YES or NO	(circle one)	MUSC	_____	Was the minimum met for FY02?	YES or NO	(circle one)
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USC Columbia	_____	Was the minimum met for FY02?	YES or NO	(circle one)												
MUSC	_____	Was the minimum met for FY02?	YES or NO	(circle one)												
<p>3.) To determine the sector's performance, report the total number of non-duplicative collaborations of the three research institutions: FY02 Collaborations from July 1, 2001, through June 30, 2002 (FY02) involving:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">Clemson & MUSC</td> <td style="width: 10%; text-align: center;">_____</td> </tr> <tr> <td>Clemson & USC</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>USC & MUSC</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Clemson & MUSC & USC</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Total Number of FY02 Collaborations</td> <td style="text-align: center;">_____</td> </tr> </table>		Clemson & MUSC	_____	Clemson & USC	_____	USC & MUSC	_____	Clemson & MUSC & USC	_____	Total Number of FY02 Collaborations	_____					
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USC & MUSC	_____															
Clemson & MUSC & USC	_____															
Total Number of FY02 Collaborations	_____															
<p>Sector Performance based on Total FY02 Collaborations:</p> <p>((_____ in FY02 - _____ avg of past 3 years) / _____ avg of past 3 years) * 100 = _____ % change</p>																
<p>Determination of Score: For Year 7, a score of "3" is awarded, provided at least two institutions met their identified minimum participation level and the sector's performance shows an increase greater than 15% over the the average of the past 3 years; a score of "2" is awarded provided at least two institutions met their minimum and the sector's performance shows an increase from 5% to 15% over the average of the past 3 years; and a score of "1" is awarded if two or more institutions fail to meet their identified minimum level of participation or if at least two institutions met their minimum and the sector's performance is less than a 5% increase over the past 3 fiscal years. For future years, see workbook for details.</p>																
<div style="background-color: #00FFFF; text-align: center;"> TO BE COMPLETED AT CHE: Date Received _____ Revisions received after this date? Yes or No </div>																
<div style="background-color: #FFFF00; text-align: center;"> Please Remember to Complete and Submit the Summary Table for FY02 for Item 1 Above </div>																